

**PCT**

**NOTIFICATION OF ELECTION**

(PCT Rule 61.2)

From the INTERNATIONAL BUREAU

To:

Assistant Commissioner for Patents  
United States Patent and Trademark  
Office  
Box PCT  
Washington, D.C.20231  
ETATS-UNIS D'AMERIQUE

in its capacity as elected Office

Date of mailing (day/month/year)

25 August 2000 (25.08.00)

International application No.

PCT/US99/29939

Applicant's or agent's file reference

RCA89855

International filing date (day/month/year)

15 December 1999 (15.12.99)

Priority date (day/month/year)

11 January 1999 (11.01.99)

Applicant

HOOVER, Alan, Anderson

1. The designated Office is hereby notified of its election made:



in the demand filed with the International Preliminary Examining Authority on:

28 July 2000 (28.07.00)



in a notice effecting later election filed with the International Bureau on:

2. The election ☒ was



was not

made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

The International Bureau of WIPO  
34, chemin des Colombettes  
1211 Geneva 20, Switzerland

Facsimile No.: (41-22) 740.14.35

Authorized officer

Dominique DELMAS

Telephone No.: (41-22) 338.83.38

PCT

NOTIFICATION OF THE RECORDING  
OF A CHANGE

(PCT Rule 92bis.1 and  
Administrative Instructions, Section 422)

From the INTERNATIONAL BUREAU

To:

TRIPOLI, Joseph, S.  
Thomson Multimedia Licensing  
Incorporated  
P.O. Box 5312  
Princeton, NJ 08543  
ETATS-UNIS D'AMERIQUE

Date of mailing (day/month/year) 25 August 2000 (25.08.00)	
Applicant's or agent's file reference RCA89855	IMPORTANT NOTIFICATION
International application No. PCT/US99/29939	International filing date (day/month/year) 15 December 1999 (15.12.99)

1. The following indications appeared on record concerning:

☒ the applicant ☐ the inventor ☐ the agent ☐ the common representative

Name and Address

THOMSON CONSUMER ELECTRONICS, INC.  
10330 North Meridian Street  
Indianapolis, IN 46290-1024  
United States of America

State of Nationality

US

State of Residence

US

Telephone No.

Facsimile No.

Teleprinter No.

2. The International Bureau hereby notifies the applicant that the following change has been recorded concerning:

☒ the person ☒ the name ☒ the address ☒ the nationality ☒ the residence

Name and Address

THOMSON LICENSING S.A.  
46, Quai Alphonse Le Gallo  
F-92648 Boulogne Cedex  
France

State of Nationality

FR

State of Residence

FR

Telephone No.

Facsimile No.

Teleprinter No.

3. Further observations, if necessary:

4. A copy of this notification has been sent to:

☒ the receiving Office ☐ the designated Offices concerned  
☐ the International Searching Authority ☒ the elected Offices concerned  
☒ the International Preliminary Examining Authority ☐ other:

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland Facsimile No.: (41-22) 740.14.35	Authorized officer Dominique DELMAS Telephone No.: (41-22) 338.83.38
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# PATENT COOPERATION TREATY

EXPRESS MAIL

EL685391 368 US

From the  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

PCT

To:

TRIPOLI, Joseph S.  
THOMSON MULTIMEDIA LICENSING INC.  
P.O. Box 5312  
Princeton, New Jersey 08543  
ETATS-UNIS D'AMERIQUE

PTO/PCT Rec'd 23 JUN 2001

NOTIFICATION OF TRANSMITTAL OF  
THE INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT  
(PCT Rule 71.1)

Date of mailing  
(day/month/year) 08.05.2001

Applicant's or agent's file reference  
RCA89855

## IMPORTANT NOTIFICATION

International application No.  
PCT/US99/29939

International filing date (day/month/year)  
15/12/1999

Priority date (day/month/year)  
11/01/1999

Applicant  
THOMSON LICENSING S.A.

1. The applicant is hereby notified that this International Preliminary Examining Authority transmits herewith the international preliminary examination report and its annexes, if any, established on the international application.
2. A copy of the report and its annexes, if any, is being transmitted to the International Bureau for communication to all the elected Offices.
3. Where required by any of the elected Offices, the International Bureau will prepare an English translation of the report (but not of any annexes) and will transmit such translation to those Offices.

### 4. REMINDER

The applicant must enter the national phase before each elected Office by performing certain acts (filing translations and paying national fees) within 30 months from the priority date (or later in some Offices) (Article 39(1)) (see also the reminder sent by the International Bureau with Form PCT/IB/301).

Where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary examination report. It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned.

For further details on the applicable time limits and requirements of the elected Offices, see Volume II of the PCT Applicant's Guide.

Name and mailing address of the IPEA/



European Patent Office  
D-80298 Munich  
Tel. +49 89 2399 - 0 Tx: 523656 epmu d  
Fax: +49 89 2399 - 4465

Authorized officer

Kiepe, C

Tel. +49 89 2399-2423



# PATENT COOPERATION TREATY

## PCT

### INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference <b>RCA89855</b>	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. <b>PCT/US99/29939</b>	International filing date (day/month/year) <b>15/12/1999</b>	Priority date (day/month/year) <b>11/01/1999</b>
International Patent Classification (IPC) or national classification and IPC <b>H04S3/02</b>		
Applicant <b>THOMSON LICENSING S.A.</b>		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.



2. This REPORT consists of a total of 5 sheets, including this cover sheet.

☐ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of sheets.

3. This report contains indications relating to the following items:

- I ☒ Basis of the report
- II ☐ Priority
- III ☐ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- IV ☐ Lack of unity of invention
- V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☒ Certain defects in the international application
- VIII ☒ Certain observations on the international application

Date of submission of the demand  <b>28/07/2000</b>	Date of completion of this report  <b>08.05.2001</b>
Name and mailing address of the international preliminary examining authority:   <b>European Patent Office</b> <b>D-80298 Munich</b> <b>Tel. +49 89 2399 - 0 Tx: 523656 epmu d</b> <b>Fax: +49 89 2399 - 4465</b>	Authorized officer  <b>Bodin, C-M</b>  Telephone No. <b>+49 89 2399 8952</b> 

# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/US99/29939

## I. Basis of the report

1. With regard to the **elements** of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):

### Description, pages:

1-9 as received on 03/05/2000 with letter of 03/05/2000

### Claims, No.:

1-14 as received on 03/05/2000 with letter of 03/05/2000

### Drawings, sheets:

1/5-5/5 as received on 03/05/2000 with letter of 03/05/2000

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:
- ☐ the claims, Nos.:

# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/US99/29939

☐ the drawings, sheets:

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)):

*(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)*

6. Additional observations, if necessary:

## V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

### 1. Statement

Novelty (N)	Yes:	Claims
	No:	Claims 1,2,9
Inventive step (IS)	Yes:	Claims
	No:	Claims 5-8
Industrial applicability (IA)	Yes:	Claims 1-9
	No:	Claims

2. Citations and explanations  
**see separate sheet**

## VII. Certain defects in the international application

The following defects in the form or contents of the international application have been noted:  
**see separate sheet**

## VIII. Certain observations on the international application

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:  
**see separate sheet**

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT - SEPARATE SHEET**

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International application No. PCT/US99/29939

**Re Item V**

- 1 Reference is made to the following documents:

D1: EP-A-584 718  
D2: US-A-4 817 151  
D3: WO-A-98/36614

- 2 D1, see in particular figure 4, discloses a stereophonic expansion circuit having a stereophonic sum signal path (L+R) and a stereophonic difference signal path (L-R), comprising:

means (38) for processing the stereophonic sum signal and the stereophonic difference signal, and means (LPF 53) for tonal compensation of the stereophonic sum signal, wherein the tonal compensation of the stereophonic sum signal is in the bass and/or treble frequency bands.

Thus, the subject-matter of claims 1, 2 and 9 is not considered to be new in view of D1 (Article 33.2 PCT).

- 3 D2, see in particular figure 3, discloses a stereophonic expansion circuit having a stereophonic sum signal path (L+R) and a stereophonic difference signal path (L-R), comprising:

means (14) for processing the stereophonic sum signal and the stereophonic difference signal, and means (LPF 12) for tonal compensation of the stereophonic sum signal, wherein the tonal compensation of the stereophonic sum signal is in the bass and/or treble frequency bands.

Thus, the subject-matter of claims 1, 2 and 9 is not considered to be new in view of D2 (Article 33.2 PCT).

- 4 The subject-matter of the dependent claims 5 - 8 is not considered to involve inventive subject-matter in view of the general knowledge of the man skilled in the art.

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT - SEPARATE SHEET**

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International application No. PCT/US99/29939

**Re Item VII**

- 1 Contrary to the requirements of Rule 5.1(a)(ii) PCT, the relevant background art disclosed in the documents D1, D2 and D3 is not mentioned in the description, nor is this document identified therein.

**Re Item VIII**

- 1 Although claims 1 and 10 have been drafted as separate independent claims, they appear to relate effectively to the same subject-matter and to differ from each other only with regard to the definition of the subject-matter for which protection is sought and in respect of the terminology used for the features of that subject-matter. The aforementioned claims therefore lack conciseness. Moreover, lack of clarity of the claims as a whole arises, since the plurality of independent claims makes it difficult, if not impossible, to determine the matter for which protection is sought, and places an undue burden on others seeking to establish the extent of the protection. Hence, the claims do not meet the requirements of Article 6 PCT.

In order to overcome this objection, the applicant should have filed an amended set of claims defining the relevant subject-matter in terms of a single independent claim in each category followed by dependent claims covering features which are merely optional (Rule 6.4 PCT).

- 2a The symbols "L-R" and "L+R" are not reference signs within the meaning of Rule 6.2 (b) PCT. These symbols should therefore not be placed between parenthesis in the claims.
- 2b Apparently, the L-R signal should have been referred to as "a stereophonic difference signal L-R" and the L+R signal as "a stereophonic sum signal L+R".



## TENT COOPERATION TREATY

## PCT

## INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference <b>RCA89855</b>	<b>FOR FURTHER ACTION</b> see Notification of Transmittal of International Search Report (Form PCT/ISA/220) as well as, where applicable, item 5 below.	
International application No. <b>PCT/US 99/ 29939</b>	International filing date (day/month/year) <b>15/12/1999</b>	(Earliest) Priority Date (day/month/year) <b>11/01/1999</b>
Applicant <b>THOMSON CONSUMER ELECTRONICS, INC. et al.</b>		

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of 3 sheets.

☒ It is also accompanied by a copy of each prior art document cited in this report.

## 1. Basis of the report

- a. With regard to the **language**, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

☐ the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

- b. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international search was carried out on the basis of the sequence listing :

☐ contained in the international application in written form.

☐ filed together with the international application in computer readable form.

☐ furnished subsequently to this Authority in written form.

☐ furnished subsequently to this Authority in computer readable form.

☐ the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.

☐ the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished

2. ☐ **Certain claims were found unsearchable** (See Box I).

3. ☐ **Unity of Invention is lacking** (see Box II).

## 4. With regard to the title,

☒ the text is approved as submitted by the applicant.

☐ the text has been established by this Authority to read as follows:

## 5. With regard to the abstract,

☒ the text is approved as submitted by the applicant.

☐ the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

## 6. The figure of the drawings to be published with the abstract is Figure No.

☒ as suggested by the applicant.

☐ because the applicant failed to suggest a figure.

☐ because this figure better characterizes the invention.

5

☐ None of the figures.

## INTERNATIONAL SEARCH REPORT

International Application No.

P 99/29939

**A. CLASSIFICATION OF SUBJECT MATTER**

IPC 7 H04S3/02

According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 H04S H04R H03G

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	EP 0 865 226 A (3S TECH CO LTD) 16 September 1998 (1998-09-16) column 2, line 32-37 column 3, line 6-29 column 4, line 32 -column 8, line 31 column 9, line 39 -column 11, line 40 ----	1-14
Y	US 4 392 114 A (YAMADA SHIGERU ET AL) 5 July 1983 (1983-07-05) column 1, line 30-45 column 1, line 57 -column 2, line 45 ----- -/--	1-14

☒ Further documents are listed in the continuation of box C.☒ Patent family members are listed in annex.

## \* Special categories of cited documents :

"A" document defining the general state of the art which is not considered to be of particular relevance

"E" earlier document but published on or after the international filing date

"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)

"O" document referring to an oral disclosure, use, exhibition or other means

"P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

"&amp;" document member of the same patent family

Date of the actual completion of the international search

19 June 2000

Date of mailing of the international search report

28/06/2000

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
Fax: (+31-70) 340-3016

Authorized officer

Zanti, P

## INTERNATIONAL SEARCH REPORT

International Application No.

US 99/29939

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	US 5 208 493 A (LENDARO JEFFERY B ET AL) 4 May 1993 (1993-05-04) cited in the application column 1, line 6-9 column 1, line 45-52 column 2, line 4-56 column 5, line 4 -column 6, line 22 ---	1-14
A	PATENT ABSTRACTS OF JAPAN vol. 1995, no. 03, 28 April 1995 (1995-04-28) & JP 06 335093 A (FUJITSU TEN LTD), 2 December 1994 (1994-12-02) abstract -----	1-14

# INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

US 99/29939

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
EP 0865226	A	16-09-1998	JP 10271600 A	09-10-1998
US 4392114	A	05-07-1983	JP 1389623 C	23-07-1987
			JP 56164611 A	17-12-1981
			JP 61058047 B	10-12-1986
			DE 3120291 A	01-04-1982
			FR 2483147 A	27-11-1981
			GB 2078457 A,B	06-01-1982
			NL 8102486 A	16-12-1981
			SE 447324 B	03-11-1986
			SE 8103166 A	22-11-1981
US 5208493	A	04-05-1993	NONE	
JP 06335093	A	02-12-1994	NONE	